Re-Issuance of DOD Instruction 5000.02

DEPSECDEF *Issued Interim Policy on 26 NOV 2013*

DEPUTY SECRETARY OF DEFENSE
1010 DEFENSE PENTAGON
WASHINGTON, DC 20301-1010

NOV 26 2013

MEMORANDUM FOR SECRETARIES OF THE MILITARY DEPARTMENTS
CHAIRMAN OF THE JOINT CHIEFS OF STAFF
UNDER SECRETARIES OF DEFENSE
DEPUTY CHIEF MANAGEMENT OFFICER
DIRECTOR, COST ASSESSMENT AND PROGRAM EVALUATION
DIRECTOR, OPERATIONAL TEST AND EVALUATION
GENERAL COUNSEL OF THE DEPARTMENT OF DEFENSE
INSPECTOR GENERAL OF THE DEPARTMENT OF DEFENSE
ASSISTANT SECRETARIES OF DEFENSE
DEPARTMENT OF DEFENSE CHIEF INFORMATION OFFICER
ASSISTANTS TO THE SECRETARY OF DEFENSE
DIRECTOR, ADMINISTRATION AND MANAGEMENT
DIRECTOR, NET ASSESSMENT
DIRECTORS OF THE DEFENSE AGENCIES
DIRECTORS OF THE DOD FIELD ACTIVITIES

SUBJECT: Defense Acquisition

I have determined that the current DoD Instruction (DoDI) 5000.02, "Operation of the Defense Acquisition System," December 8, 2008, requires revision to create an acquisition policy environment that will achieve greater efficiency and productivity in defense spending and effectively implement the department's Better Buying Power (BBP) initiatives. Therefore, I am canceling this issuance with the exception of Enclosure 9, Acquisition of Services, and replacing it with the attached interim policy effective immediately.

I am directing the Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)), with the Department of Defense Chief Information Officer and the Director, Operational Test and Evaluation, to jointly prepare a revised DoDI 5000.02 within 180 days. The USD(AT&L) will draft a new instruction to address acquisition of services in the same time period.

Attachment:
As stated

OSD013748-13

Department of Defense
INSTRUCTION
– INTERIM –

NUMBER 5000.02
November 26 2013
USD(AT&L)

SUBJECT: Operation of the Defense Acquisition System

References: See References Enclosure

1. PURPOSE. This instruction:

a. In accordance with the authority in DoD Directive 5000.01 (Reference (a)), reissues DoD Instruction 5000.02 (Reference (b)) to update established policy for the management of all acquisition programs in accordance with Reference (a), the guidelines of Office of Management and Budget Circular A-11 (Reference (c)), and References (j) through (ci).

b. Authorizes Milestone Decision Authorities (MDAs) to tailor the regulatory requirements and acquisition procedures in this instruction to more efficiently achieve program objectives, consistent with statutory requirements and Reference (a).

c. Incorporates and cancels the following directive type memorandums (DTMs):

(1) DTM 09-025 (Reference (d)).

(2) DTM 09-027 (Reference (e)).

(3) DTM 10-015 (Reference (f)).

(4) DTM 10-017 (Reference (g)).

(5) DTM 11-003 (Reference (h)).

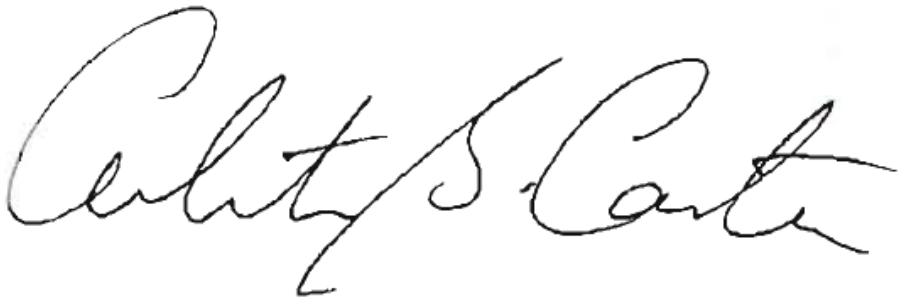
(6) DTM 11-009 (Reference (i)).

2. APPLICABILITY. This instruction applies to OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD

Attachment

DEPSECDEF *Direction*

I am directing the Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)), with the Department of Defense Chief Information Officer and the Director, Operational Test and Evaluation, to jointly prepare a revised DoDI 5000.02 within 180 days. The USD(AT&L) will draft a new instruction to address acquisition of services in the same time period.



Mr. Kendall's Letter

THE UNDER SECRETARY OF DEFENSE
3010 DEFENSE PENTAGON
WASHINGTON, DC 20301-3010

ACQUISITION, TECHNOLOGY AND LOGISTICS

DEC 02 2013

MEMORANDUM FOR THE ACQUISITION WORKFORCE

SUBJECT: The New Department of Defense Instruction 5000.02

I am happy to relate that we have finally distributed the new Department of Defense Instruction (DoDI) 5000.02 for implementation as an interim document while the formal coordination of the final product takes place. There are a few points about the new document that I would like to highlight for you.

One purpose of this new version is to implement a number of statutes and regulations that have come into existence since the last version was published in 2008. As we developed the document, I concluded that the body of law that has developed over the decades since Goldwater Nichols in the mid-80s places an extraordinary and unnecessarily complex burden on our Program Managers (PMs) and their staffs. Enclosure 1 of the new 5000.02 includes lengthy tables that reflect these statutory and regulatory requirements. I have asked Andrew Hunter, Director of the Joint Rapid Acquisition Office in AT&L, to lead a team with the purpose of developing a legislative proposal that would simplify the existing body of law and replace it with a more coherent and "user friendly" set of requirements, without sacrificing the intention behind existing statutes. We will work closely with the Congress as we develop this proposal over the next few months. I am hopeful that we will be able to update Enclosure 1 within the next year and replace it with a simplified and less burdensome alternative.

I have tried to make the document more readable and helpful to acquisition professionals, both those new to the world of defense acquisition and those more experienced professionals who need a reference for a specific area of interest. The new 5000.02 is organized with the main body describing the steps and decision points in the acquisition process. Program structures should always be tailored to the product being acquired, and there is a heavy emphasis on tailoring – supported by the inclusion of several example program structure models. The main body of the document is followed by a series of enclosures organized logically, with each one providing more information on policy and procedures for a specific aspect of acquisition or a specialized type of product.

The basic structure of the "acquisition system" is unchanged with minor exceptions. The things that have to be done in defense acquisition never change. They include: identifying a need or desire for a new product, reducing technical risk to an acceptable level, developing and testing the product, and fielding and sustaining it over time. However, some minor adjustments to the most recent 5000.02 were necessary. The new 5000.02 introduces a "Requirements Decision Point" and a "Development RFP Release Decision Point." The new Requirements Decision Point, which occurs during Technology Maturation and Risk Reduction, provides the starting point for the requirements analysis and allocation system engineering process that culminates at the Preliminary Design Review. This decision point is also necessary to inform the Request for Proposal (RFP) for the Development phase. The Development RFP Release Decision Point institutionalizes what we have been calling the "Pre-EMD Review." I regard this as the most important single decision point in the entire life cycle because the release of the Engineering and Manufacturing Development RFP sets in motion everything that will follow in the product's life cycle.

The new 5000.02 is longer than I would have preferred. This is in part due to the fact that all relevant statutory and regulatory guidance had to be included. It is also due to the fact that several stand-alone documents that will be eliminated have been integrated into the document. One section that was not included or replaced is the previous section on the acquisition of contracted services. A new DoDI on Acquisition of Services is in draft and should be released in the near future.

In addition, updating 5000.02 provided an opportunity to integrate several of the Better Buying Power initiatives into the document. Examples are tight integration of requirements and acquisition communities, should cost, and affordability analysis. The integration of requirements and acquisition is emphasized, for example, in the new requirements decision point and in discussion of the use of Configuration Steering Boards. Should cost is covered in the text as an ongoing PM's responsibility. Affordability analysis is covered in the acquisition process, and in a separate enclosure which makes it clear that developing affordability constraints is a requirements and programming community planning responsibility – not an acquisition community or a cost estimator responsibility.

Finally, I have also tried to reinforce the importance and primacy of the acquisition chain of command – particularly Program Executive Officers (PEOs) and PMs. In general, the Acquisition Executives, PEOs, and PMs are responsible and accountable for the programs they manage; everyone else has a supporting or advisory role. Consistent with this fundamental principle, all 5000.02 required program documentation should be considered first and foremost as having utility for planning and managing the program, not as "inspectors" compliance documents. Documents that serve this purpose effectively should be adequate for staff review.

Although we are implementing the new DoDI 5000.02 on an interim basis and putting it into final coordination, I want you to know that continuous improvement never ceases. If you have ideas about how to improve this guidance, you are encouraged to submit them. At the end of the day 5000.02 is not just about the rules acquisition professionals have to follow. It is about us all constantly working to make the acquisition system as efficient and effective as we can.

Frank Kendall

What Changed? (Models and Procedures)

- **Core Document Re-Written to More Clearly Communicate Management Intent**
  - Most language related to statutory compliance (i.e., Formatted as Tables)
- **Notes Added to Tables to Clarify Requirement**
- **Substantial Revisions to All Enclosures**
  - Accommodate community concerns
  - Clarify/Streamline procedures
- **Document Re-Organized**

Revised Document Structure

- Core Instruction
- 13 Enclosures
- ALL Enclosures have been Revised…
  - New Enclosures are highlighted in Red
  - Old Enclosures with Major Revisions are highlighted in Blue
- 150 Pages

Revised DoDI 5000.02 Structure

Core Instruction - Operation of the Defense Acquisition System

Enclosures

1. Acquisition Program Categories and Compliance Requirements
2. Program Management
3. Systems Engineering
4. Developmental Test and Evaluation (DT&E)
5. Operational and Live Fire Test and Evaluation
6. Life-Cycle Sustainment Planning
7. Human Systems Integration (HSI)
8. Affordability Analysis and Investment Constraints
9. Analysis of Alternatives
10. Cost Estimating and Reporting
11. Requirements Applicable to All Programs Containing Information Technology (IT)
12. Defense Business Systems (DBS)
13. Rapid Acquisition of Urgent Needs

Generic Acquisition and Procurement Milestones and Decision Points

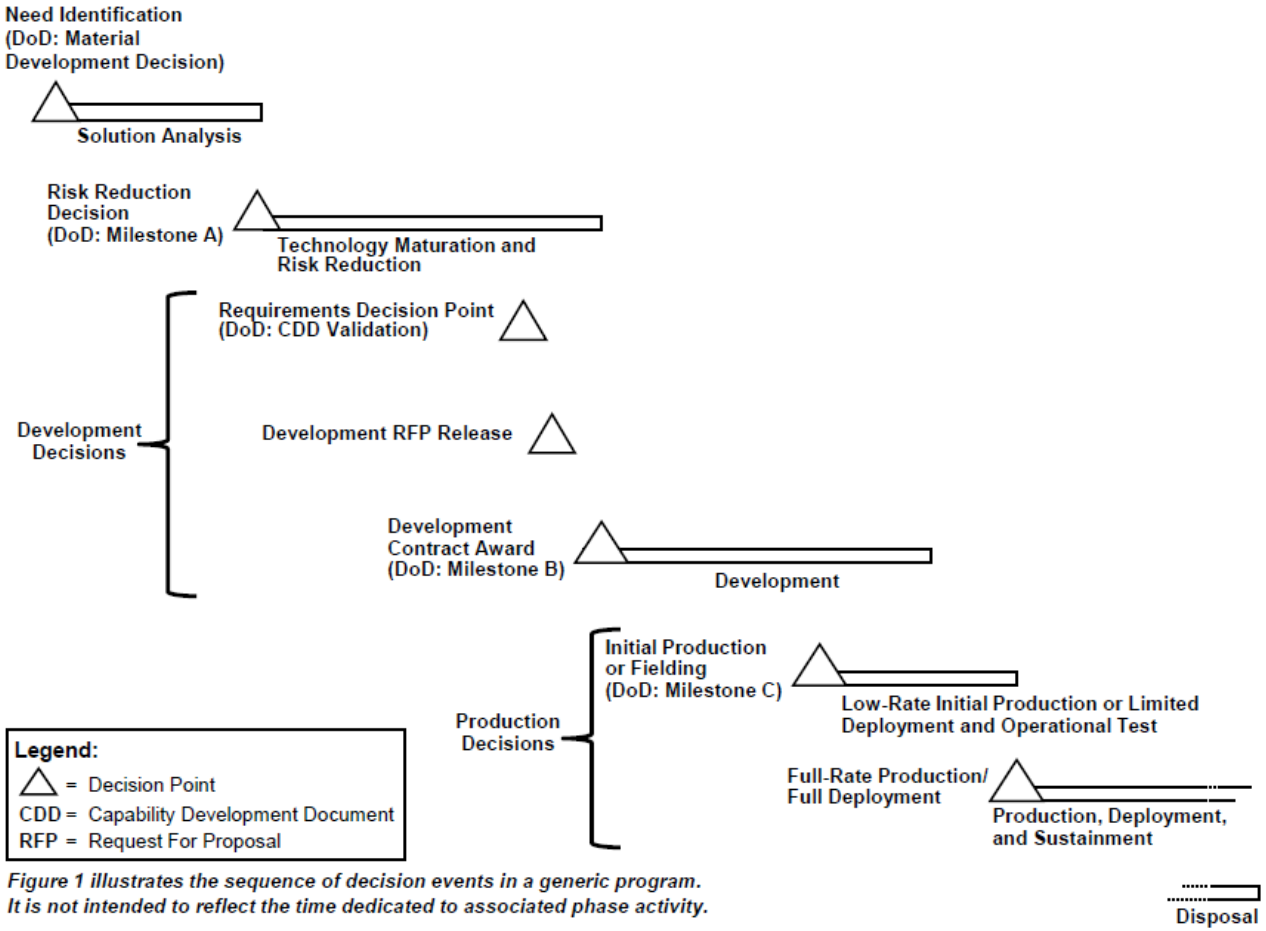
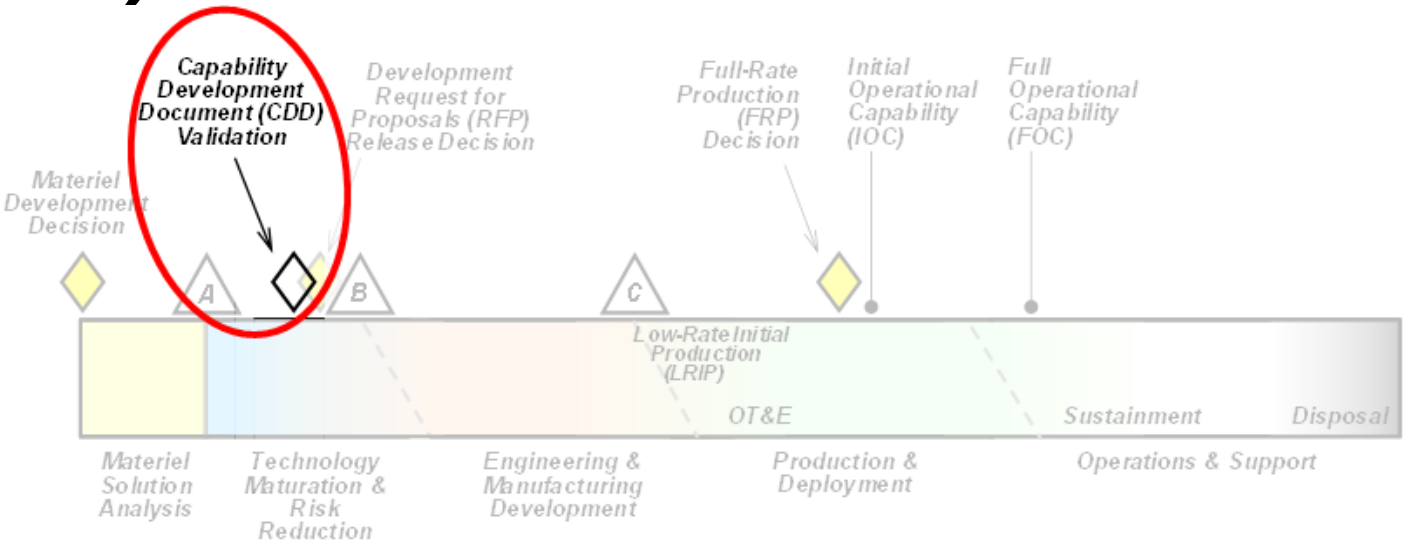


Figure 1 illustrates the sequence of decision events in a generic program. It is not intended to reflect the time dedicated to associated phase activity.

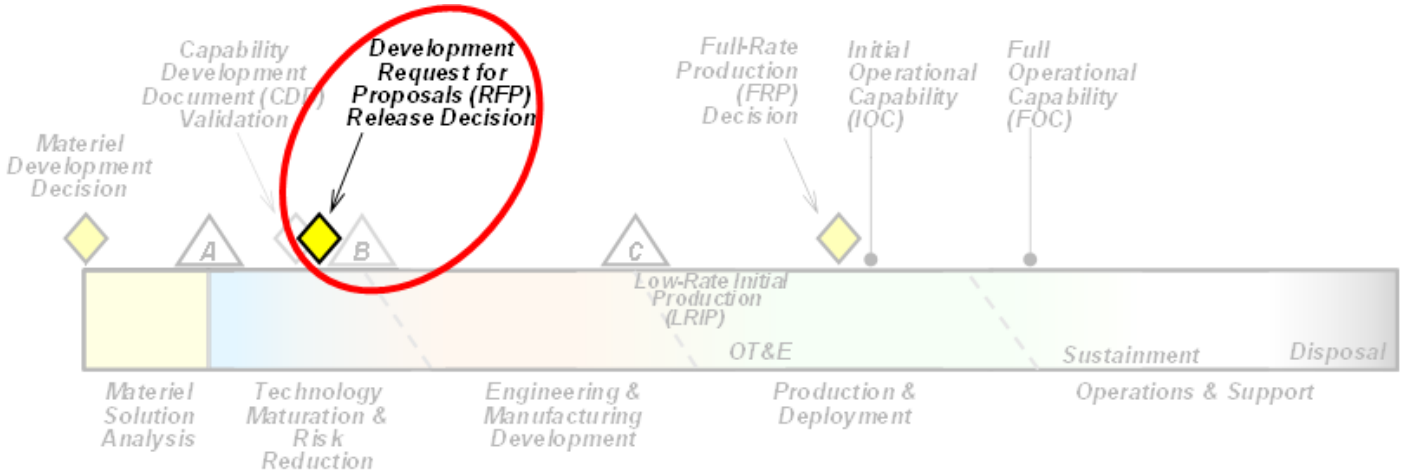
- … a generic product acquisition program would follow the structure depicted
- … the sequence of decision events in a generic program, which could be a Defense program or, except for the unique DoD terminology, a commercial product
- Each product-tailored process model is a variant of this basic structure

Capability Development Document (CDD) Validation



- During the TMRR Phase, the requirements validation authority will validate the CDD (or equivalent requirements document) for the program. This action will precede the Development RFP Release Decision Point and provides a basis for preliminary design activities and the PDR that will occur prior to Milestone B unless waived by the MDA.
- Active engagement between acquisition leadership, including the MDA, and the requirements leadership, including the validation authority (the JROC for MDAP and MAIS programs), during the development and review of proposed requirements trades is essential to ensuring that the validated requirements associated with the program continue to address the priorities of the DoD Component and the Joint force in a cost effective and affordable way.
- The MDA (and CAE when the MDA is the DAE) will participate in the validation authorities' review and staffing of the CDD (or equivalent requirements document) prior to validation, to ensure that requirements are technically achievable, affordable, and testable, and that requirements trades are fully informed by systems engineering trade-off analyses completed by the Program Manager or the DoD

Development Request for Proposals (RFP) Release Decision



- … the Development RFP Release Decision Point is to ensure, prior to the release of the solicitation for EMD, that an executable and affordable program has been planned using a sound business and technical approach.
- This review is the critical decision point in an acquisition program. The program will either successfully lead to a fielded capability or fail, based on the soundness of the capability requirements, the affordability of the program, and the executability of the acquisition strategy. The acquisition strategy is put into execution at this decision point by asking industry for bids that comply with the strategy.
- This decision point authorizes the release of RFPs for EMD and often for Low-Rate Initial Production (LRIP) options.
- Release of the RFP for EMD sets in motion all that will follow. This is the last point at which significant changes can be made without a major disruption.

Overarching Objectives

- Decrease emphasis on “rules” and increase emphasis on process intent and thoughtful program planning
- Provide program structures and procedures tailored to the dominant characteristics of the product being acquired and to unique program circumstances, e.g., risk and urgency
- Enhance the discussion of program management responsibility and key supporting disciplines
- Institutionalize changes to statute and policy since the last issuance of DoD Instruction 5000.02

Statute & Policy Driving the Update

POLICY

USD(AT&L) Memos
- Better Buying Power 1 & 2
- Designation of Subprograms for MDAPs
- EVM Systems Performance, Oversight, and Governance
- Government Performance of Critical Acquisition Functions
- Preservation and Storage of Tooling for MDAPs
- Reporting Requirements for Programs Qualifying as Both MAIS & MDAP
- Should-cost Memos
- Strengthened Sustainment Governance
- Improving Technology Readiness Assessment Effectiveness

PDUSD(AT&L) Memos
- Improving Milestone Process Effectiveness
- Post-CDR Reports and Assessments
- Milestone Decision Documentation Outlines

Other Memos
- Guidelines for Operational Test and Evaluation of Information and Business Systems
- DoD CIO Policy for CCA Confirmations

DoDI 5000.02

STATUTE

Title 10
§2334: Independent cost estimation and analysis
§2366: Major systems and munitions programs: survivability and lethality testing required before full scale production
§2445c: MAIS Programs

NDAA
§332 of FY09: Fuel Logistics Requirements
§805 of FY10: Life-Cycle Management and Product Support
§803 of FY11: Enhancing … Rapid Acquisition
§804 of FY11: … Acquisition Process for Rapid Fielding of Capabilities in Response to Urgent Operation Needs
§811 of FY11: Cost Estimates for MDAP and MAIS
§812 of FY11: Management of Manufacturing Risk
§932 of FY11: Computer Software Assurance
§831 of FY11: *[Waiver of Nunn-McCurdy for a Change in Quantity]*
§811 of FY12: Calculation Of Time Period *[for MAIS]* Critical Changes…
§801 of FY12: Core Depot-level Maintenance and Repair Capabilities
§832 of FY12: Assessment, Management, and Control of Operating and Support Costs for Major Weapon Systems

DIRECTIVE TYPE MEMOS

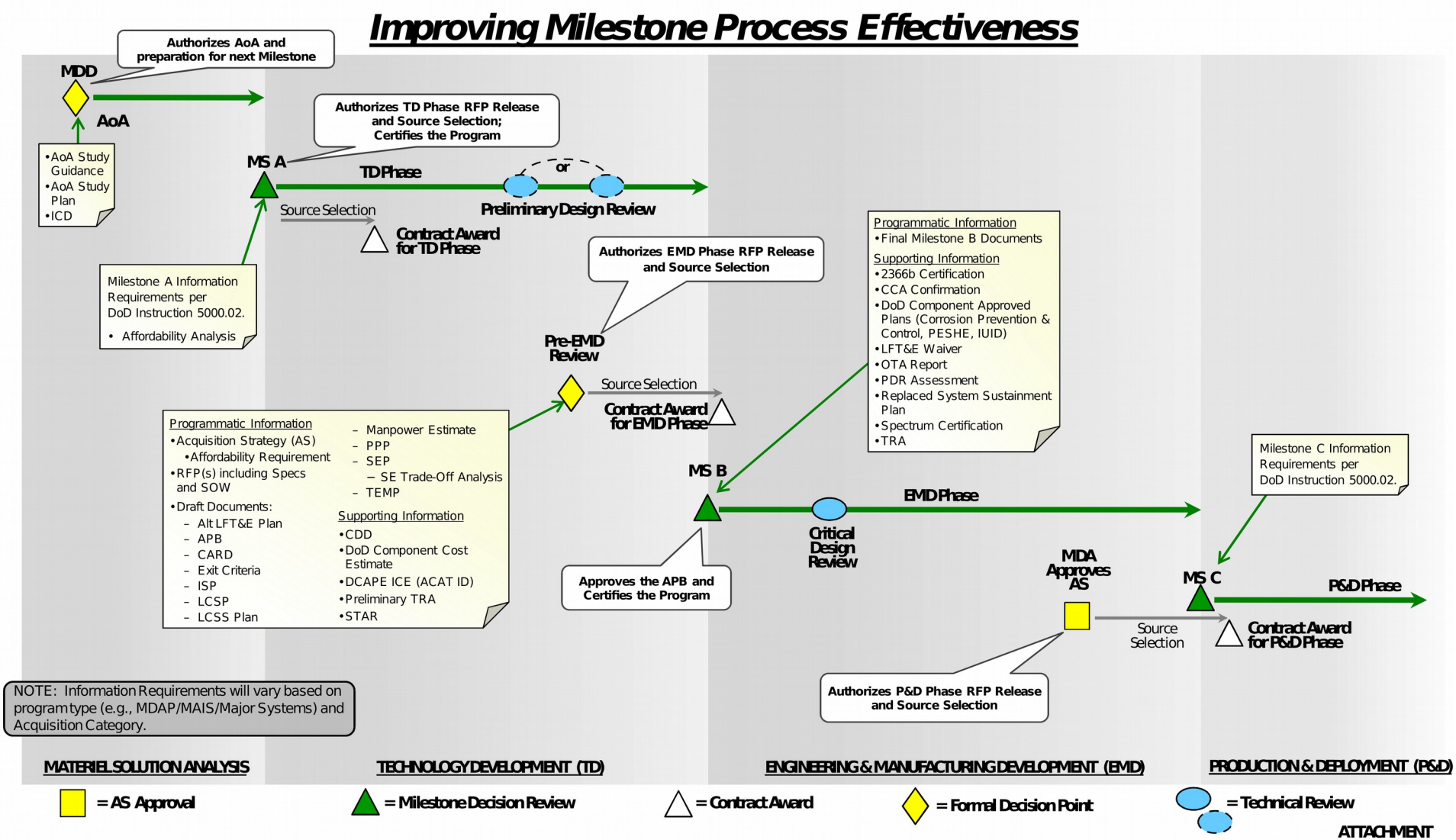
DTM [illegible] Implementation of WSARA 2009
DTM 09-025: Space Systems Acquisition Policy
DTM 09-016: Supply Chain Risk Management (SCRM) to Improve the Integrity of Components Used in DoD Systems
DTM 10-015: Requirements for Life Cycle Management and Product Support
DTM 10-017: Development Planning
DTM 11-003: Reliability Analysis, Planning, Tracking, and Reporting
DTM 11-009: Acquisition Policy for Defense Business Systems

ADDITIONAL CONSIDERATIONS

- [illegible]
- New Emphasis on Cybersecurity
- New Emphasis on Intellectual Property (IP) Strategy
- FY10 NDAA, Sec. 804: Agile IT Development

…turing Risk in MDAPs
…ments
…-type contracts
…rmination Liability
…es ….. (T&E)

Incorporated Policy to Improve Milestone Process Effectiveness dated June 23, 2011



Better Buying Power 2.0 Initiatives Institutionalized via the DRAFT DoD Instruction 5000.02

Achieve Affordable Programs

- ✓ Mandate affordability as a requirement
- ✓ Institute a system of investment planning to derive affordability caps
- ✓ Enforce affordability caps

Control Costs throughout the Product Life Cycle

- ✓ Implement "should cost" based management
- ✓ Eliminate redundancy within warfighter portfolios
- Institute a system to measure the cost performance of programs and institutions and to assess the effectiveness of acquisition policies
- ✓ Build stronger partnerships with the requirements community to control costs
- ✓ Increase the incorporation of defense exportability features in initial designs

Incentivize Productivity & Innovation in Industry and Government

- Align profitability more tightly with Department goals
- ✓ Employ appropriate contract types
- Increase use of Fixed Price Incentive contracts in Low Rate Initial Production
- Better define value in "best value" competitions
- When LPTA is used, define Technically Acceptable to ensure needed quality
- Institute a superior supplier incentive program
- ✓ Increase effective use of Performance-Based Logistics
- Reduce backlog of DCAA Audits without compromising effectiveness
- Expand programs to leverage industry's IR&D

Eliminate Unproductive Processes and Bureaucracy

Promote Effective Competition

- ✓ Emphasize competition strategies and creating and maintaining competitive environments
- ✓ Enforce open system architectures and effectively manage technical data rights
- Increase small business roles and opportunities
- ✓ Use the Technology Development phase for true risk reduction

Improve Tradecraft in Acquisition of Services

- Assign senior managers for acquisition of services
- Adopt uniform services market segmentation
- Improve requirements definition/prevent requirements creep
- Increase use of market research
- Increase small business participation
- Strengthen contract management outside the normal acquisition chain—installations, etc.
- Expand use of requirements review boards and tripwires

Improve the Professionalism of the Total Acquisition Workforce

- ✓ Establish higher standards for key leadership positions
- Establish stronger professional qualification requirements for all acquisition specialties
- Increase the recognition of excellence in acquisition management
- Continue to increase the cost consciousness of the acquisition workforce—change the culture

Document Comparison

2008:

Enclosures

- Procedures
- Acquisition Category (ACAT) and Milestone Decision Authority (MDA)
- Statutory and Regulatory Information and Milestone Requirements
- Program Management
- Systems Engineering
- Integrated T&E
- Human Systems Integration
- Resource Estimation
- IT Considerations
- Management of Defense Business Systems
- Acquisition of Services†

Page Count: 80 pages

* *New or Deleted text, in red; major changes and additions, blue*

† *Acquisition of Services policy removed from DoDI 5000.02; under revision for re-issuance as a*

2013:

Core Instruction - Operation of the Defense Acquisition System

Enclosures

- Acquisition Program Categories and Compliance Requirements
- Program Management
- Systems Engineering
- Developmental Test and Evaluation (DT&E)
- Operational and Live Fire Test and Evaluation
- Life-Cycle Sustainment Planning
- Human Systems Integration (HSI)
- Affordability Analysis and Investment Constraints
- Analysis of Alternatives
- Cost Estimating and Reporting
- Requirements Applicable to All Programs Containing Information Technology (IT)
- Defense Business Systems (DBS)

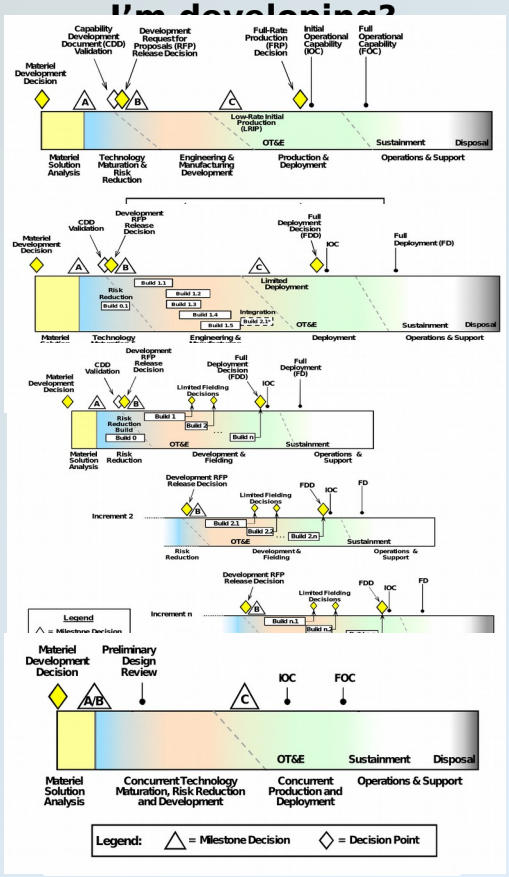
What Has *Really* Changed

- The overall tone of the document—from compliance to thoughtful planning
- Example Program Models—tailored for the product being acquired and designed to serve as benchmarks for structuring programs
- Re-written and Re-focused acquisition process procedures
- New/Expanded Policy:
  - Program Management
  - Program Protection, including Information Assurance
  - Intellectual Property
  - Operational Test and Evaluation (significantly expanded)
  - Life-Cycle Sustainment
  - Affordability
  - Defense Business Systems
  - Rapid Acquisition of Urgent Needs

Tailored Applicability

How to use the Document

What Model best accommodates the product I'm developing?



What business procedures apply to the program?

Materiel Development Decision

The Materiel Development Decision is based on a validated initial requirements document (an ICD or equivalent) and the completion of the AoA Study Guidance and AoA Study Plan. This decision directs execution of the AoA Study Guidance and AoA Study Plan, and authorizes the DoD Component to conduct the Materiel Solution Analysis Phase. This decision point is the entry point into the acquisition process for all defense acquisition programs; …

What statute and regulation is applicable to my program category (i.e., ACAT I –III) and milestone?

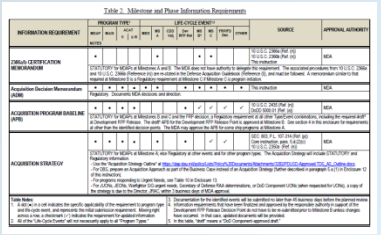


Table 2. Milestone and Phase Information Requirements

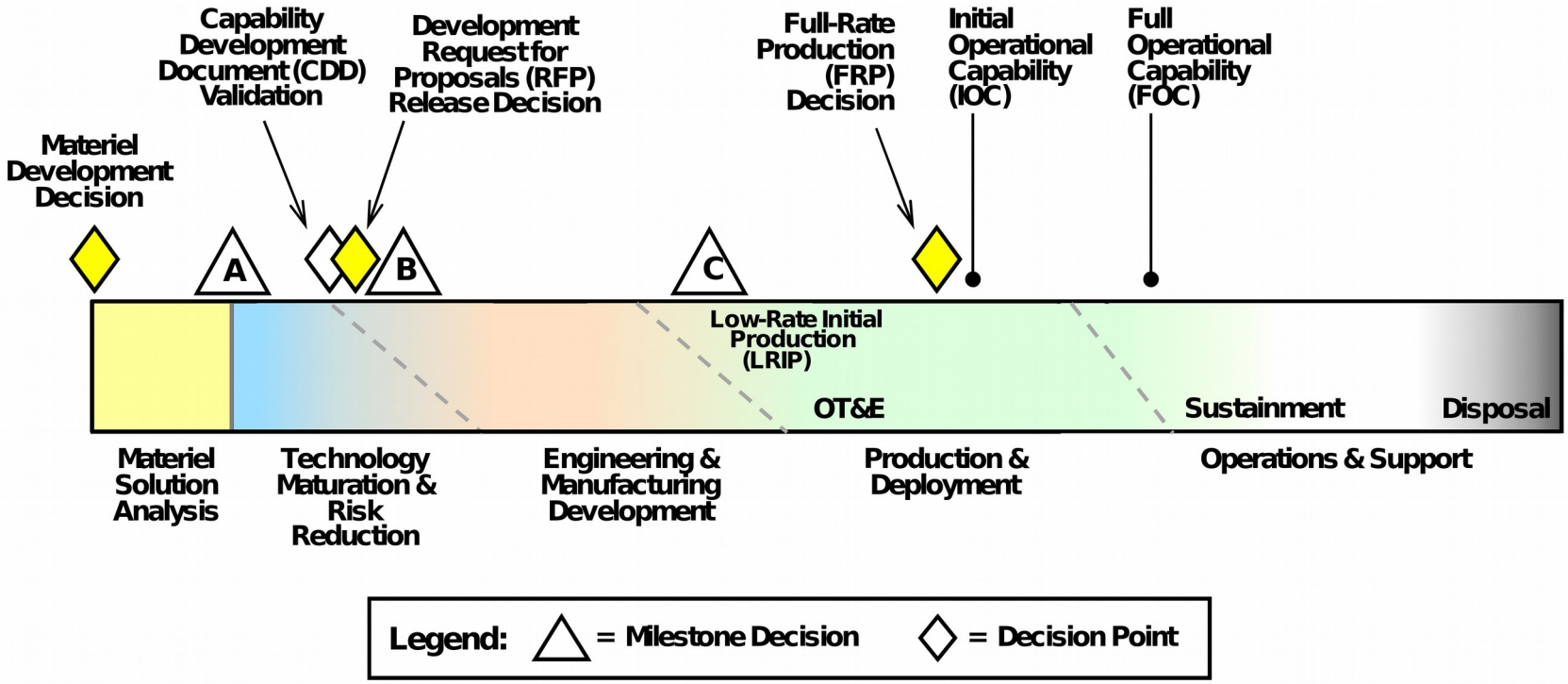
What detailed functional policy relates to my program?

Program Management, Systems Engineering, DT&E, OT&E, Sustainment, Human Systems, Affordability, AoAs, Resources and Cost, IT and Clinger-Cohen, Defense Business Systems, Urgent Operational Needs

Product-Tailored Acquisition Models

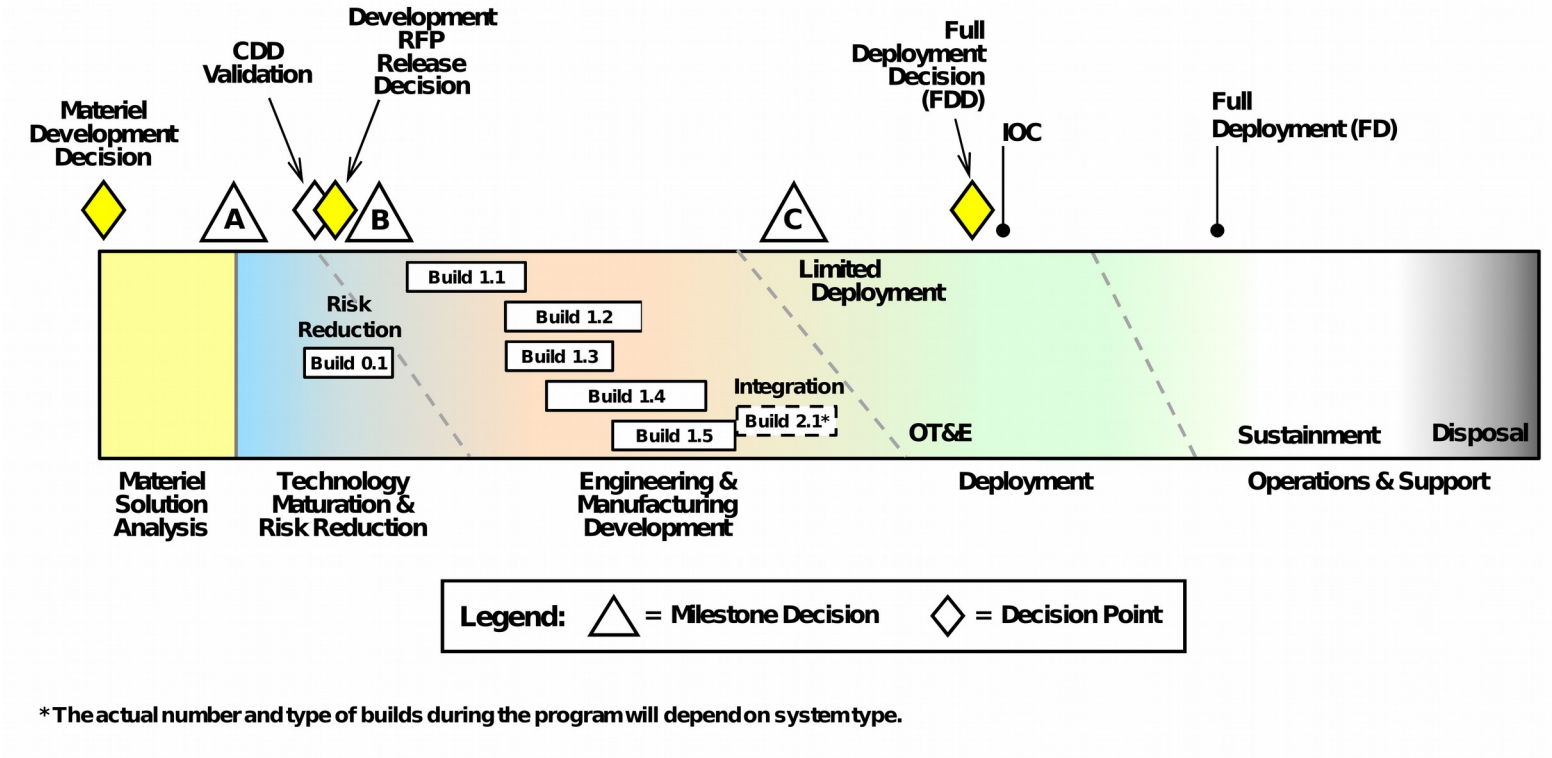
- Model 1: Hardware Intensive Program
- Model 2: Defense Unique Software Intensive Program
- Model 3: Incrementally Fielded Software Intensive Program
- Hybrid Program A (Hardware Dominant)
- Hybrid Program B (Software Dominant)
- Model 4: Accelerated Acquisition Program

Model 1: Hardware Intensive Program



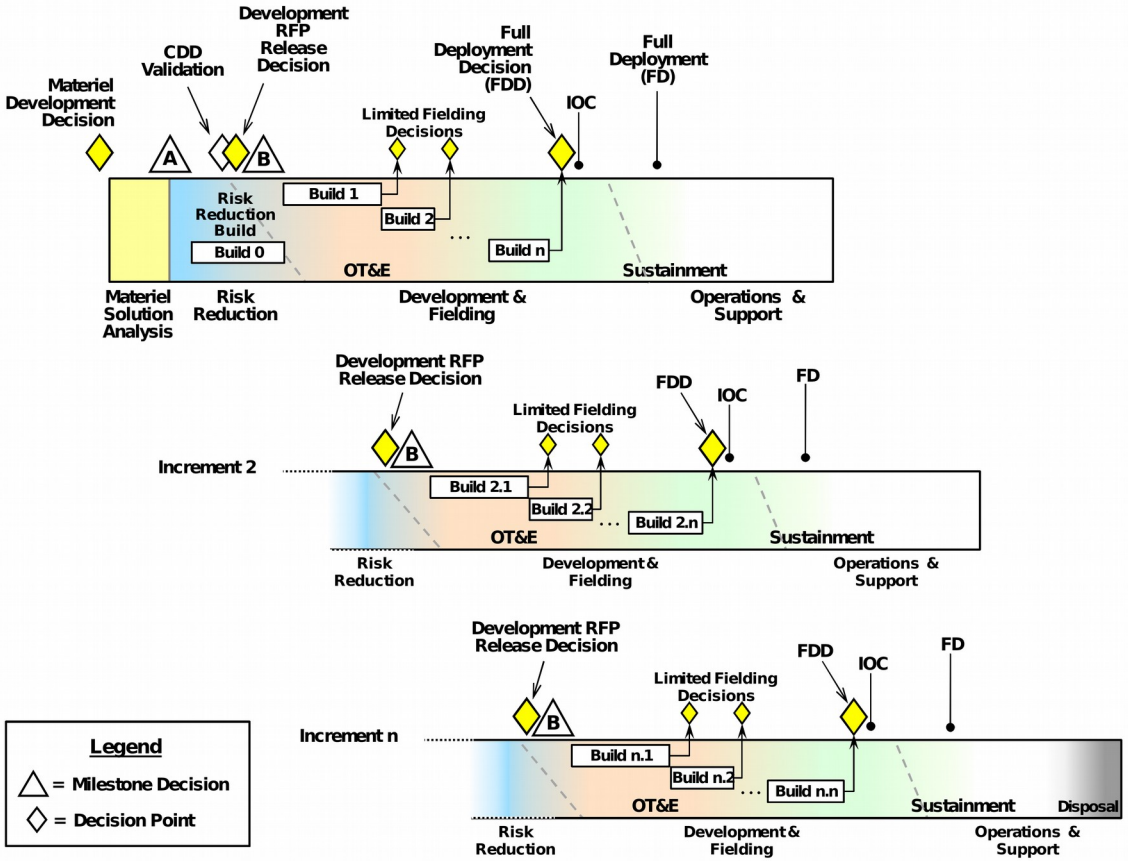
- … model of a hardware intensive development program such as a major weapons platform
- This is the “classic” model that has existed in some form in all previous editions of this instruction
- It is the starting point for most military weapon systems; however, these products almost always contain software development resulting in some form of Hybrid Model A

Model 2: Defense Unique Software Intensive Program



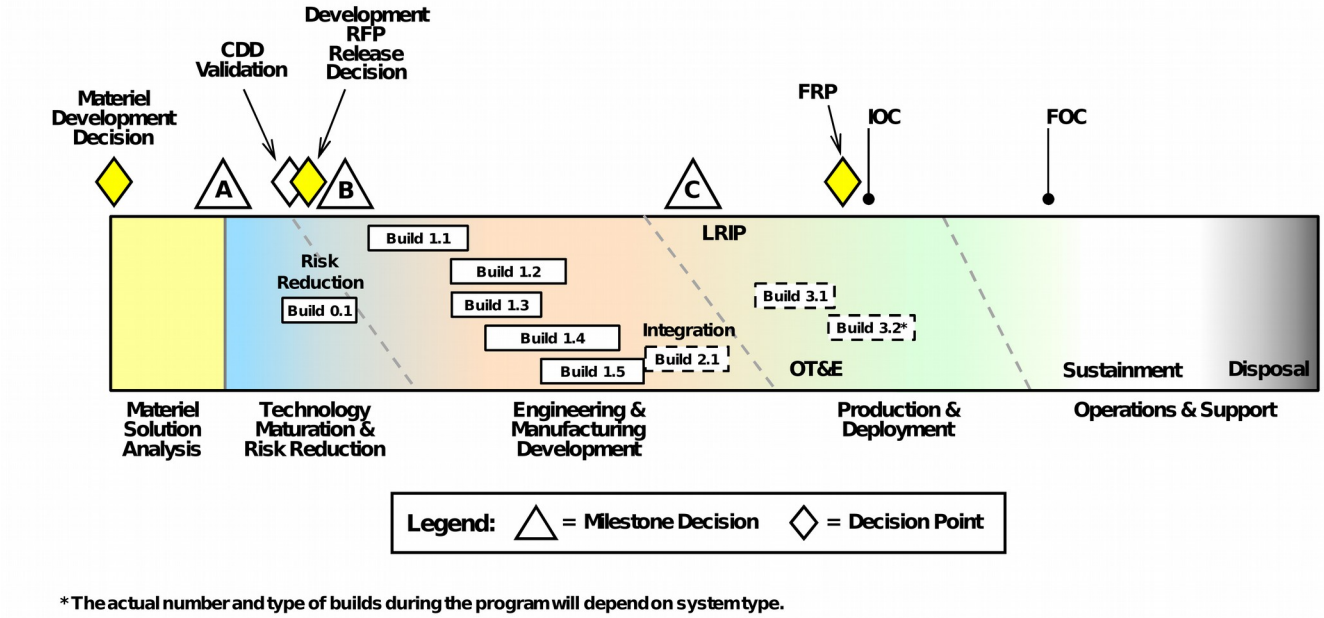
- …a model of a program that is dominated by the need to develop a complex, usually defense unique, software program that will not be deployed until several software builds have been completed
- The central feature of this model is the planned software builds – a series of testable, integrated subsets of the overall capability – which together with clearly defined decision criteria, ensure adequate progress is being made before fully committing to subsequent builds
- Examples of this type of product include military unique command and control systems and significant upgrades to the combat systems found on major weapons systems such as

Model 3: Incrementally Fielded Software Intensive Program



- This model is distinguished from the previous model by the rapid delivery of capability through several limited fieldings in lieu of single Milestones B and C and a single full deployment. Each limited fielding results from a specific build, and provides the user with mature and tested sub-elements of the overall capability.
- Several builds and fieldings will typically be necessary to satisfy approved requirements for an increment of capability.
- …will apply in cases where commercial off-the-shelf software, such as commercial business systems with multiple modular capabilities, are acquired and adapted for DoD applications

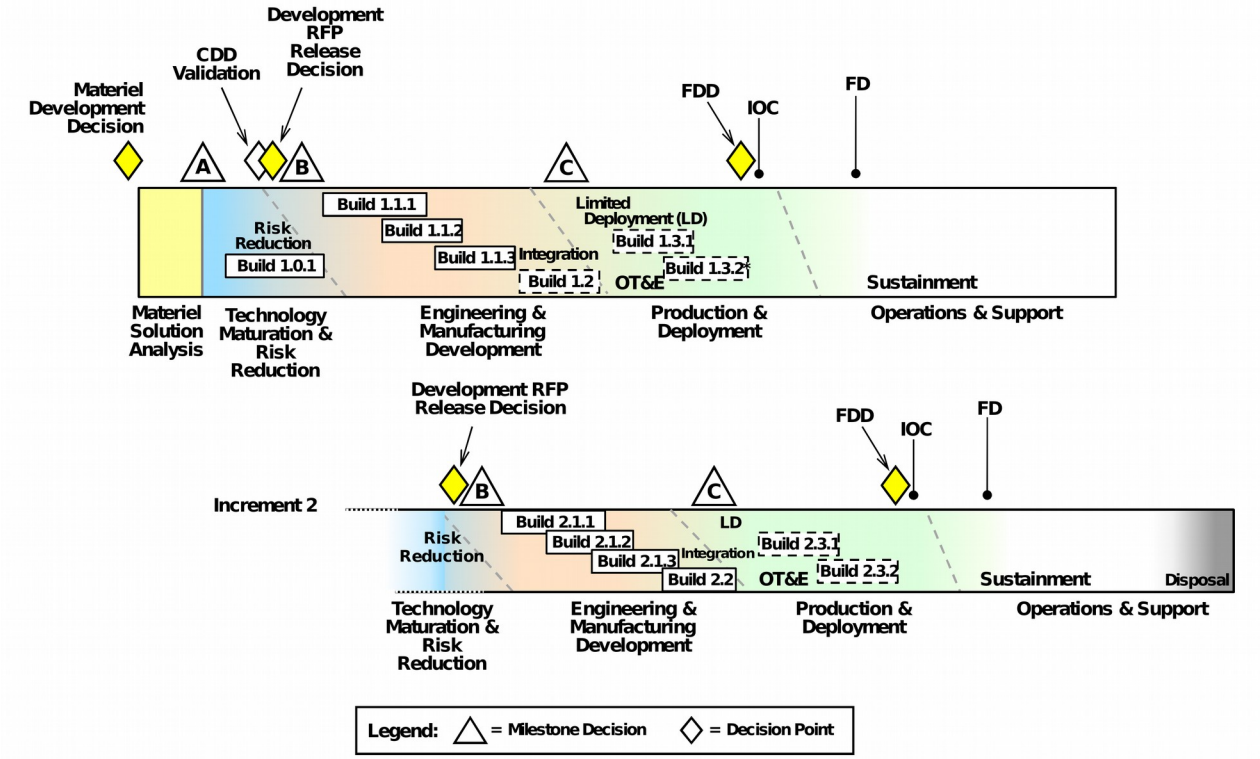
Hybrid Program A (Hardware Dominant)



*The actual number and type of builds during the program will depend on system type.

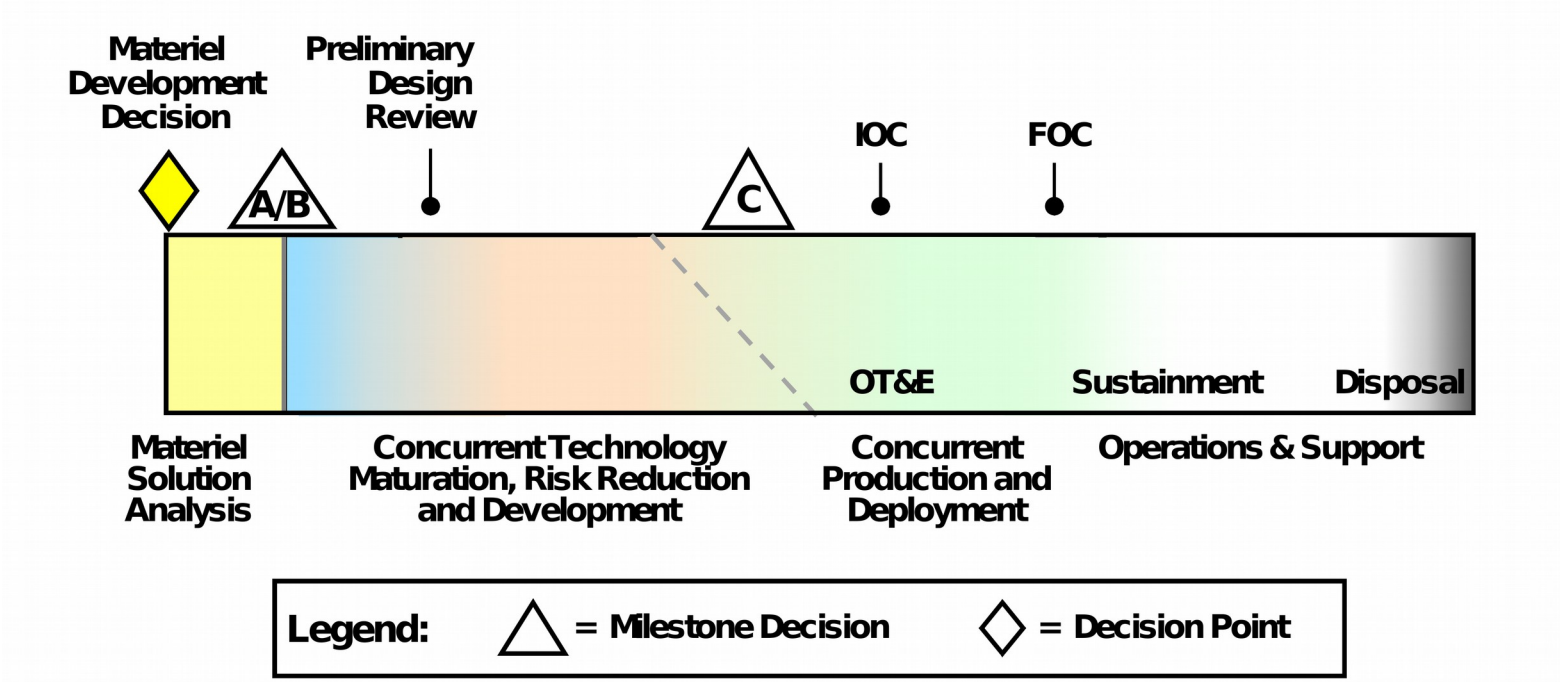
- … a model depicting how a major weapons system combines hardware development as the basic structure with a software intensive development that is occurring simultaneously with the hardware development program
- In a hardware intensive development, the design, fabrication, and testing of physical prototypes may determine overall schedule, decision points, and milestones, but software development will often dictate the pace of program execution and must be tightly integrated and coordinated with hardware development decision points
- … software development should be organized into a series of testable software builds
- These builds should lead up to the full capability needed to satisfy program requirements and Initial Operational Capability (IOC). Software builds should be structured so that the timing of content delivery is synchronized with the need for integration, developmental and operational testing in hardware prototypes
- … Milestone B decision to enter EMD and the Milestone C decision to enter Production and

Hybrid Program B (Software Dominant)



- … depicts how a software intensive product development can include a mix of incrementally fielded software products or releases that include intermediate software builds
- Risk Management in Hybrid Models:
  - Highly integrated complex software and hardware development poses special risks to program cost and schedule performance.
  - Technical, cost, and schedule risks associated with hardware and software development must be managed throughout the program's life cycle and will be a topic of special interest at all decision points and milestones.

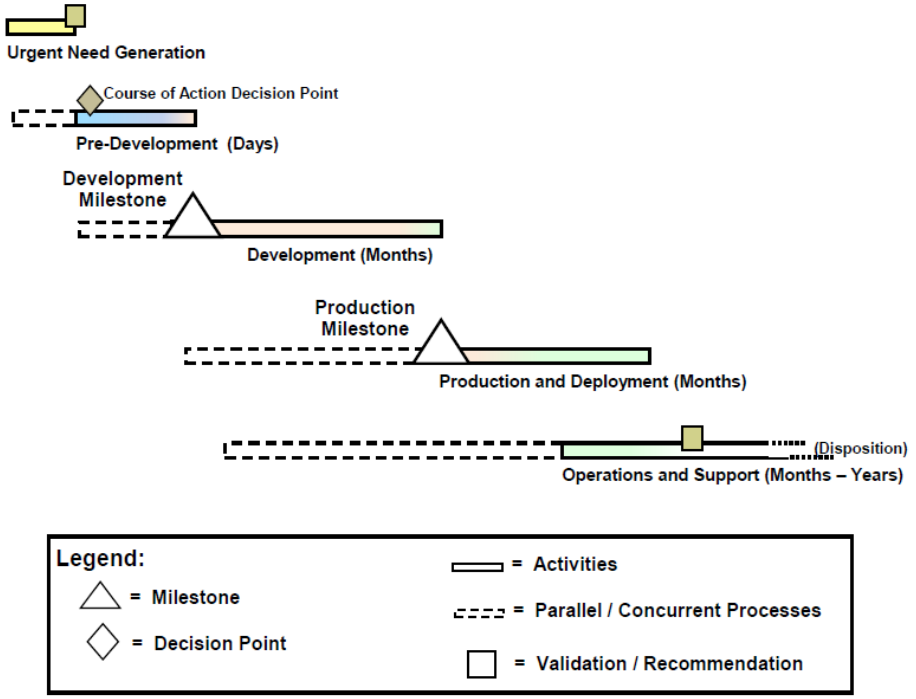
Model 4: Accelerated Acquisition Program



- … is a model that applies when schedule considerations dominate over cost and technical risk considerations
- This model compresses or eliminates phases of the process and accepts the potential for inefficiencies in order to achieve a deployed capability on a compressed schedule
- The model shows one example of tailoring for accelerated acquisition and many others are possible
- For products that must be developed and acquired as quickly as possible, usually motivated by a potential adversary achieving technological surprise, and featuring a greater acceptance of program risk

Rapid Acquisition of Urgent Needs

- Enclosure 13
- New Enclosure describing policy and procedure for programs that respond to Rapid Acquisition of Urgent Needs
  - Includes Joint Urgent Operational Needs (JUONs), Joint Emergent Operational Needs (JEONs), and DoD Component-Specific UONs
  - General, highly tailorable acquisition business model
    - Applicable to UONs that fall below the cost threshold for ACAT I and IA programs and that can be fielded in less than 2 years



- … activities detailed in this enclosure are not separate from or in addition to activities performed as part of the acquisition system but are a highly tailored version of those activities and are intended to expedite urgent needs by tailoring the documentation and reviews normally required as part of the deliberate acquisition process

Process Flexibility

- The structure of a DoD acquisition program and the procedures used should be tailored as much as possible to the characteristics of the product being acquired, and to the totality of circumstances associated with the program including operational urgency and risk factors.
- Authorizes Milestone Decision Authorities (MDAs) to tailor the regulatory requirements and acquisition procedures in this instruction to more efficiently achieve program objectives, consistent with statutory requirements and DoD Directive 5000.01
- MDAs will tailor program strategies and oversight, including program information, acquisition phase content, the timing and scope of decision reviews and decision levels, based on the specifics of the product being acquired, including complexity, risk factors, and required timelines to satisfy validated capability requirements
- When there is a strong threat-based or operationally driven need to field a capability solution in the shortest time, MDAs are authorized to implement streamlined procedures designed to accelerate acquisition system responsiveness
- Statutory requirements will be complied with, unless waived in

Program Management – Enclosure 2

- Acquisition Chain of Command and PEO and PM Assignments
- Enhanced discussion of Program Management Responsibilities
- Program Office Structure and Organizations
- Acquisition Strategies
  - Business Approach and Risk Management
  - Competition
  - Intellectual Property (IP) Strategy and Open Systems/Architectures
- Program Baseline Development and Management
- Program Management Tools
  - Earned Value Management (EVM)
  - Risk Management
  - Cost Baseline Control and Use of “Should Cost” Management
- International Acquisition and Exportability
- Industrial Base Analysis and Considerations
- Life-cycle Management of Information and Data Protection

Affordability Analysis & Investment Constraints – Enclosure 8

- New Enclosure
- Designed to support responsible and sustainable investment decisions
- Component will conduct required analysis to assess life-cycle program affordability in the FYDP and portfolio context
- Applicable to ACAT I and IA programs; Components directed to issue similar guidance for ACAT II and below programs
- Initial analysis conducted early enough to inform the AoA
- **At MDD**:
  - Tentative “goals” and inventory goals to scope the AoA and provide targets around which to consider alternatives
- **At Milestone A**:
  - Affordability “goals” for unit procurement and sustainment costs
- **At Pre-B, Milestone B, and later**:
  - Binding Affordability “Caps”—fixed requirements to be treated as KPPs

Life-Cycle Sustainment Planning – Enclosure 6

- Reflects increased emphasis on program sustainment and operation and support costs
- Detailed planning required in support of all acquisition phases
- Requires a Life-Cycle Sustainment Plan for all programs
- Logistics Assessments conducted as a focused part of Program Support Reviews
- Component-conducted Independent Logistics Assessments for ACAT I and II programs prior to key decision points and milestone decisions to assess sustainment strategy
- Post-IOC assessments required every 5 years

DELIBERATIVE DOCUMENT: For discussion purposes only. Draft working papers. Do not release under FOIA.

Developmental Test and Evaluation – Enclosure 4

- Chief Developmental Tester for MDAPs and MAISs
- Lead DT&E (Government) Organization for MDAPs
- TEMP at all Milestones (including MS A)
- Requires the use of Government Test Facilities, unless an exception can be justified
- Emphasis on:
  - Use of scientific and statistical rigor when developing T&E program
  - Program Protection and Cybersecurity
  - Interoperability Testing
- Reliability Growth Curve(s) included in the MS B TEMP (updated in all future TEMPS)
- For accelerated acquisition and urgent programs, levels of developmental testing required will be highly tailored to emphasize schedule over other considerations

Operational and Live Fire T&E – Enclosure 5

- T&E planning moved to left
  - T&E WIPT formed at MDD or program start
  - OTAs comment on OT&E implications of CONOPs after MDD
  - TEMP at all Milestones (no more TES)
  - PM's understanding of user's rationale for requirements in MS-A TEMP
  - Start of Design of Experiments for IOT&E in MS-A TEMP
  - Metrics on completeness of design information in MS-A TEMP
- New section on Software Testing
  - Requires plans for test automation starting at MS-A
  - Plan for use of software logs starting at MS-B
  - Demonstration of regression testing at or before IOT&E
  - Demonstration of software maintenance at or before IOT&E
  - Includes risk-based OT, IA, and interoperability

Defense Business Systems (DBS) – Enclosure 12

- Draft DoD Instruction 5000.02 cancels the BCL DTM
- DBS will employ one of the models in the draft or an effective variant approved by the MDA
- The “Defense Business Systems” enclosure details additional statutory and regulatory policy applicable to DBS

DELIBERATIVE DOCUMENT: For discussion purposes only. Draft working papers. Do not release under FOIA.

System Engineering – Enclosure 3

- New Content
  - Development Planning
  - Systems Engineering Trade-Off Analyses
  - Technical Performance Measures and Metrics
  - Manufacturing and Producibility
  - Software
  - Program Protection
  - Reliability and Maintainability (R&M)
  - Open Systems Architectures
  - Insensitive Munitions
  - Design Reviews
  - Program Support Assessments (PSAs)

DELIBERATIVE DOCUMENT: For discussion purposes only. Draft working papers. Do not release under FOIA.

System Engineering – Enclosure 3

- Program Protection
  - The integrating process for managing risks to DoD warfighting capability from foreign intelligence collection; hardware or software, and cyber vulnerability or supply chain exploitation; and battlefield loss throughout the program life cycle
  - Program Managers will submit the program's Component CIO-approved Cybersecurity Strategy as part of every Program Protection Plan (PPP)
  - The PPP will be submitted for MDA approval at each Milestone review, beginning with Milestone A
  - For Milestone B, the DoD Component-approved draft PPP will be provided to the DASD(SE) 45 days prior to the Development RFP Release Decision Point

Acquisition of Services

- Services policy is no longer included in DoDI 5000.02
- A separate DoDI 5000 series policy document is in coordination and issue is expected before the re-issuance of DoDI 5000.02

Reduce Lengthy Prose Passages to Table Entries

From This

To This

2008 Policy Language:

(2) The MDA for an MDAP, without the authority to delegate, shall sign a certification memorandum for record prior to Milestone A approval (section 2366a of title 10, United States Code (U.S.C.) (Reference (k))). The memorandum shall include the statements in section 2366a of Reference (k) without modification. The ADM at Milestone A shall include the statement: "I have made the certifications required by section 2366a of title 10, United States Code."

(3) If, during Technology Development, the cost estimate upon which the MDA based the Milestone A certification increases by 25 percent or more, the PM shall notify the MDA of the increase. The MDA shall again consult with the JROC on matters related to program requirements and the military need(s) for the system. The MDA shall determine whether the level of resources required to develop and procure the system remains consistent with the priority level assigned by the JROC. If not, the MDA may rescind the Milestone A approval if the MDA determines that such action is in the interest of national defense.

(5) The MDA for an MDAP, without the authority to delegate, shall assess the program business case and sign a certification memorandum prior to Milestone B approval (section 2366b of Reference (k)). The memorandum shall include the statements in section 2366b of Reference (k) without modification. If the program is initiated at a later date, i.e., Milestone C, a similar memorandum shall be prepared as a matter of policy. The ADM shall include the statement: "I have reviewed the program and the business case analysis and have made the certifications required, or executed a waiver of the applicability of one or more of the components of the certification required, as authorized by subsection 2366b(d) of title 10, United States Code." The PM shall immediately notify the MDA of any program changes that alter the substantive basis of the MDA certification or otherwise cause the program to deviate significantly from the material presented to the MDA in support of such certification.

INFORMATION REQUIREMENT	PROGRAM TYPE[1]				LIFE-CYCLE EVENT[1,2]								SOURCE	APPROVAL AUTHORITY
	MDAP	MAIS	ACAT II	ACAT ≤ III	MDD	MS A	CDD Val	Dev RFP Rel	MS B[4]	MS C	FRP/FD Dec	OTHER		
	NOTES													
2366a/b CERTIFICATION MEMORANDUM	•					•			•	•			10 U.S.C. 2366a (Ref. (n)) 10 U.S.C. 2366b (Ref. (n)) This instruction	MDA
	STATUTORY for MDAPs at Milestones A and B. The MDA does not have authority to delegate this requirement. The associated procedures from 10 U.S.C. 2366a and 10 U.S.C. 2366b (Reference (n)) are re-stated in the Defense Acquisition Guidebook (Reference (l)), and must be followed. A memorandum similar to that required at Milestone B is a Regulatory requirement at Milestone C if Milestone C is program initiation.													

Revised Table Format for Milestone Requirements

Table 2. Milestone and Phase Information Requirements

INFORMATION REQUIREMENT	PROGRAM TYPE[1]				LIFE-CYCLE EVENT[1,2]								SOURCE	APPROVAL AUTHORITY
	MDAP	MAIS	ACAT II	ACAT ≤ III	MDD	MS A	CDD Val	Dev RFP Rel	MS B[4]	MS C	FRP/FD Dec	OTHER		
	NOTES													
2366a/b CERTIFICATION MEMORANDUM	•					•			•	•			10 U.S.C. 2366a (Ref. (n)) 10 U.S.C. 2366b (Ref. (n)) This instruction	MDA
	STATUTORY for MDAPs at Milestones A and B. The MDA does not have authority to delegate this requirement. The associated procedures from 10 U.S.C. 2366a and 10 U.S.C. 2366b (Reference (n)) are re-stated in the Defense Acquisition Guidebook (Reference (l)), and must be followed. A memorandum similar to that required at Milestone B is a Regulatory requirement at Milestone C if Milestone C is program initiation.													
Acquisition Decision Memorandum (ADM)	•	•	•	•	•	•		•	•	•	•	•	This instruction	MDA
	Regulatory. Documents MDA decisions and direction.													
ACQUISITION PROGRAM BASELINE (APB)	•	•	•	•				•	✓	✓	✓	✓	10 U.S.C. 2435 (Ref. (n)) DoDD 5000.01 (Ref. (a))	MDA
	STATUTORY for MDAPs at Milestones B and C and the FRP decision; a Regulatory requirement at all other Type/Event combinations, including the required draft[5] at Development RFP Release. The draft[5] APB for the Development RFP Release Point is approved at Milestone B. See section 4 in this enclosure for requirements at other than the identified decision points. The MDA may approve the APB for some ship programs at Milestone A.													
ACQUISITION STRATEGY	•	•	•	•		•		•		✓	✓		SEC. 803, P.L. 107-314 (Ref. (p)) Core instruction, para. 5.d.(2)(c) 10 U.S.C. 2350a (Ref. (n))	MDA
	STATUTORY for MDAPs at Milestone A; else Regulatory at other events and for other program types. The Acquisition Strategy will include STATUTORY and Regulatory information. - Use the "Acquisition Strategy Outline" at https://dap.dau.mil/policy/Lists/Policy%20Documents/Attachments/3282/PDUSD-Approved.TDS_AS_Outline.docx. - For DBS, prepare an Acquisition Approach as part of the Business Case instead of an Acquisition Strategy (further described in paragraph 5.a.(1) in Enclosure 12 of this instruction). - For programs responding to Urgent Needs, see Table 10 in Enclosure 13. - For JUONs, JEONs, Warfighter SIG urgent needs, Secretary of Defense RAA determinations, or DoD Component UONs (when requested for UONs), a copy of the strategy is due to the Director, JRAC, within 3 business days of MDA approval.													

Table Notes:

1. A dot (•) in a cell indicates the specific applicability of the requirement to program type and life-cycle event, and represents the initial submission requirement. Moving right across a row, a checkmark (✓) indicates the requirement for updated information.
2. All of the "Life-Cycle Events" will not necessarily apply to all "Program Types."
3. Documentation for the identified events will be submitted no later than 45 business days before the planned review.
4. Information requirements that have been finalized and approved by the responsible authority in support of the Development RFP Release Decision Point do not have to be re-submitted prior to Milestone B unless changes have occurred. In that case, updated documents will be provided.
5. In this table, "draft" means a "DoD Component-approved draft."

Summary of Statutory and Regulatory Source Documents

Statute	Summary	Principle Content	Pgs
WSARA, P.L. 111-23			

WSARA, P.L. 111-23	Broad set of acquisition process directives: Directs organizational/ personnel actions, requires acquisition policy and process changes, and establishes new congressional reporting requirements	• Major programs subject to a mandatory process entry point, the Materiel Development Decision prior to Milestone A
		• Mandatory consideration of trade-offs in establishing requirements for programs
		• Acquisition strategies must include the option of competition, at the prime and subcontract levels, throughout the life cycle, and ensure primes' "make-buy" decisions give "full and fair consideration" to qualified sources other than themselves for major subsystems and components
		• Competitive prototyping (at system or subsystem level) is required prior to Milestone B decision
		• Milestone A certification process amended
		• Milestone B certification process mandates Preliminary Design Review (PDR) before Milestone B
		• Requires DDR&E annual Assessment—Technological Maturity of Critical Technologies of MDAPs
		• Established Senate-approved Director, Cost Assessment and Program Evaluation (DCAPE) with two Deputies—Cost Assessment and Program Evaluation
		  • DCAPE develops AoA study Guidance
		  • DCAPE conducts the ICE for ACAT ID programs
		• Establishes SECDEF-appointed Director, Developmental Test & Evaluation (may be dual-hatted as Director, Test Resources Management Center) and Director, Systems Engineering
		• Establishes SECDEF-designated official for performance assessments and root cause analysis (DPARCA) for MDAPs
		• Requires SECDEF to revise regulations dealing with contractors' organizational conflicts of interest
			31

Summary of Statutory and Regulatory Source Documents

Statute	Summary	Principle Content	Pgs
FY10 NDAA, P.L. 111-84			
Sec. 805, "Life-Cycle Management and Product Support"	Provides comprehensive guidance on life-cycle management and the development and implementation of product support strategies for major weapon systems	Directs that each major weapon system be supported by a product support manager; lists the product support manager's responsibilities; and defines the term "product support arrangement"	2
Sec. 817, "Reporting requirements for programs that qualify as both MAIS programs and MDAPs"	Avoids encumbering programs with both MDAP and MAIS requirements	• Requires that a covered program that requires the development of customized hardware shall be treated only as an MDAP under title 10, chapter 144; and a covered program that does not require the development of customized hardware shall be treated only as a MAIS program under chapter 144A of title 10 • USD(AT&L) directed the following DoDI 5000.02 statement: *At the MDA's discretion, a program that meets the definitions of both a MAIS program and an MDAP may be treated as an MDAP.*	1
Sec. 841, "Reports to congress on full deployment decisions for MAIS programs"	Establishes the FDD as the criteria for a MAIS critical change	Requires FDD within 5 years of Milestone A for MAIS programs	1

Summary of Statutory and Regulatory Source Documents, cont'd

Statute	Summary	Principle Content	Pgs
FY11 NDAA, P.L. 111-383			
Sec. 805, "Acquisition of MAIS programs"	Enacts 10 USC 2223a, "Information technology acquisition planning and oversight requirements"	Requires "… a documented process for information technology acquisition planning, requirements development and management, project management and oversight, earned value management, and risk management; …"	2
Sec. 811. "Cost estimates for program baselines and contract negotiations for MDAPs and MAIS programs"	Directs DCAPE actions and policy for cost estimates	Requires: " … cost estimates developed for baseline descriptions and other program purposes conducted pursuant to subsection (a)(6) are not to be used for the purpose of contract negotiations or the obligation of funds; and cost analyses and targets developed for the purpose of contract negotiations and the obligation of funds are based on the Government's reasonable expectation of successful contractor performance in accordance with the contractor's proposal and previous experience."	1
Sec. 812. "Management of manufacturing risk in MDAPs"	Requires comprehensive guidance for managing manufacturing risk	Guidance shall: • Require the use of manufacturing readiness levels • Define manufacturing readiness levels and how to use them • Specify the manufacturing readiness levels that should be achieved at key milestones and decision points for MDAPs • Identify tools and models, and • Require appropriate consideration of the manufacturing readiness and manufacturing readiness processes of potential contractors and subcontractors as a part of the source selection process for MDAPs	1
Sec. 813. "Modification and extension of requirements of the Weapon System	Allows certain Milestone B certification criteria to be waived.	Identifies the allowed waivers and waiver conditions	1

Summary of Statutory and Regulatory Source Documents, cont'd

Statute	Summary	Principle Content	Pgs
FY11 NDAA, P.L. 111-383, cont'd			
Sec. 814. "Inclusion of major subprograms to MDAPs under various acquisition-related requirements"	Extends MDAP requirements to MDAP subprograms	• Milestone A & B Certification Memorandums must address subprograms • Extends conditions for proceeding beyond LRIP to subprograms • Extends requirements of 10 USC 2434 (for Manpower Estimates and an ICE) to subprograms of MDAPs	1
Sec. 932. "Strategy on computer software assurance"	Directs the SecDef to develop and implement a strategy for assuring the security of software and software-based applications for all covered systems	Requires consideration of software assurance in milestone reviews and milestone approvals	2

Summary of Statutory and Regulatory Source Documents, cont'd

Statute	Summary	Principle Content	Pgs
FY12 NDAA, P.L. 112-81			

Sec. 801, "Requirements relating to core depot-level maintenance and repair capabilities for Milestone A and Milestone B and elimination of references to Key Decision Points A and B"	Adds to Milestone A and Milestone B certification requirements	• Adds "that a determination of applicability of core depot-level maintenance and repair capabilities requirements has been made;" as a Milestone A certification element
		• Extends "develop and procure" to "develop, procure, and sustain" in another Milestone A certification element
		• Adds:
		  • (E) life-cycle sustainment planning, including corrosion prevention and mitigation planning, has identified and evaluated relevant sustainment costs throughout development, production, operation, sustainment, and disposal of the program, and any alternatives, and that such costs are reasonable and have been accurately estimated;
		  • (F) an estimate has been made of the requirements for core depot-level maintenance and repair capabilities, as well as the associated logistics capabilities and the associated sustaining workloads required to support such requirements;
		to Milestone B certification elements
		• Prior to entering into a contract for low-rate initial production of an MDAP, the SecDef shall ensure that the detailed requirements for core depot-level maintenance and repair capabilities, as well as the associated logistics capabilities and the associated sustaining workloads required to support such requirements, have been defined.
			2

Sec. 811, "Calculation of time period relating to report on critical changes in MAIS"	Redefines timing requirements	Similar to sec. 841 of FY10 NDAA: Requires FDD within 5 years of Milestone A for MAIS programs	1

Summary of Statutory and Regulatory Source Documents, cont'd

Statute	Summary	Principle Content	Pgs
FY12 NDAA, P.L. 112-81, cont'd			
Sec. 832, "Assessment, management, and control of operating and support costs for major weapon systems"	Requires sustainment cost estimates and management and retention of the estimates	Directs the nature, frequency, and update requirements for estimated and actual operating and support costs for major weapon systems	2
Sec. 834, "Management of manufacturing risk in MDAPs"	Allows for "…manufacturing readiness levels or other manufacturing readiness standards"	Similar to sec. 812 of FY 11. Allows for other than a strict "MRL."	1
Sec. 901, "Revision of DBS Requirements"	Amends the Defense Business Systems code section, 10 USC 2222—provides a complete rewrite	• Establishes program requirements for BPR, streamlined processes, reduced COTS tailoring • Establishes organizational responsibilities • Requires a defense business enterprise architecture • Requires one Investment Review Board • Defines budget submission and congressional reporting requirements	6
FY13 NDAA, P.L. 112-239			
Sec. 811, "Limitation on use of cost-type contracts"	Prohibits the Department of Defense from entering into cost-type contracts for the production of MDAPs	Sets the prohibition and establishes conditions for an exception.	1
Sec. 812, "Estimates of potential termination liability of contracts for the development or production of MDAPs"	Directs USD(AT&L) to ensure that program managers consider termination liability	The USD(AT&L) must ensure that program managers for MDAPs prepare estimates of potential termination liability for covered contracts, including how such termination liability is likely to increase or decrease over the period of performance, and are giving appropriate consideration to such estimates before making recommendations on decisions to enter into or terminate such contracts	1

Summary of Statutory and Regulatory Source Documents, cont'd

DTM	Purpose	Pgs
DTM 09-016, Supply Chain Risk Management (SCRM) to Improve the Integrity of Components Used in DoD Systems	• Establishes policy and a defense-in-breadth strategy for managing supply chain risk to information and communications technology (ICT) within DoD critical information systems and weapons systems in accordance with National Security Presidential Directive 54/Homeland Security Presidential Directive 23. • Directs actions in accordance with DoD Instruction 5200.39 to mitigate and manage supply chain risk using a multi-disciplinary approach for SCRM	13
DTM 09-025, Space Systems Acquisition Policy (SSAP)	• Establishes DoD policy for the review, approval, and oversight of the planning, design, acquisition, deployment, operations, maintenance, and modernization of military space systems in accordance with DoD Instruction 5000.02 • Defines activities by milestone and phase	5
DTM 09-027: Implementation of WSARA of 2009	Implements and institutionalizes selected requirements of WSARA. The law established a number of requirements that directly impact the operation of the Defense Acquisition System and the duties of key officials that support it.	20
DTM 10-015, Requirements for Life Cycle Management and Product Support	Implements and institutionalizes the requirements of section 805 of Public Law 111-84. Directs a number of changes to DoD policies designed to improve weapon systems life-cycle management and product support by establishing new requirements that directly impact acquisition, fielding, and sustainment decisions.	13
DTM 10-017: Development Planning (MDD Review & Support AoA)	• Establishes policy, assigns responsibilities, and provides guidance for development planning in support of defense acquisition • At the MDD, the Milestone Decision Authority (MDA) must not only decide whether to initiate Material Solution Analysis to address the capability gap, but also determine the fundamental path that the materiel development will follow.	4

Summary of Statutory and Regulatory Source Documents, cont'd

DTM	Purpose	Pgs
DTM 11-003 Reliability Analysis, Planning, Tracking, and Reporting	• Institutionalizes reliability planning methods and reporting requirements timed to key acquisition activities to monitor reliability growth. • Immediately enhances reliability in the acquisition process and with recent Secretary of Defense direction to improve the efficiency of the Defense acquisition system	5
DTM 11-009 Acquisition Policy for Defense Business Systems (DBS)	Establishes policy requiring the use of the Business Capability Lifecycle (BCL) model as the acquisition process for DBS, and assigns responsibilities and provides procedures for meeting BCL and DBS requirements.	40

Summary of Statutory and Regulatory Source Documents, cont'd

Date	Memo	Principle Content	Pgs
21 May 2009	USD(AT&L) Memo: Delegation of MDA & Senior Official for MAIS Business Systems	Delegation of MDA for MAIS Business Systems and Identification of applicable Business Systems	2
23 Jun 2009	USD(AT&L) Memo: Designation of Subprograms for MDAPs re 10 USC 2340a	In Response to NDAA FY09 amended Chapter 144 of title 10	2
3 Aug 2009	USD(AT&L) Memo: Preservation and Storage of Tooling for MDAPs on P. L. 110-417, Section 815	In Response to NDAA FY09 amended Section 815	6.5
18 Sep 2009	DPAP Memo: Non-Defense Agency Contracting Actions re P. L. 110-181 Section 801	In Response to NDAA FY08 amended Section 801	3
29 Mar 2010	USD(AT&L) Memo: Reporting Requirements for Programs that qualify as Both MAIS & MDAP— Implements 10 USC 2445d as amended by P.L. 111-84 Sec.817	In Response to NDAA FY10 amended Section 817	1.25
5 Apr 2010	USD(AT&L) Memo: Strengthened Sustainment Governance	Part of Department improvement processes for comprehensive reviews and standardized reporting formats	4.5
14 Sep 2010	USD(AT&L) Memo: Better Buying Power	Mandate for delivery of better value	18.5
3 Nov 2010	USD(AT&L) Memo: Implementation Directive for Better Buying Power	Implementation of Mandate for delivery of better value	6.5
14 Sep 2010	DOT&E Memo: Guidelines for Operational Test and Evaluation of Information and Business Systems	Guidelines to support agile acquisition of business systems	9.5
24 Feb 2011	PDUSD(AT&L) Memo: Post-CDR Reports and Assessments	Elimination of PM's reporting	.75
24 Aug 2011	USD(AT&L)/USD(C) Memo: Should Cost	Clarification of USD(AT&L) Memo: Should-cost and Affordability	1.5
22 Apr 2011	USD(AT&L) Memo: Should-cost and Affordability	DAB Templates and incentives	4
11 May 2011	USD(AT&L) Memo: Improving Technology Readiness Assessment Effectiveness	New Technology Readiness Assessment instructions	17.5
23 Jun 2011	PDUSD(AT&L) Memo: Improving Milestone Process Effectiveness	MSA review a prior to release offinals RFS associated with TSD, EMD and PD.	3.5
11 Aug 2011	USD(AT&L) Memo: EVM Systems Performance, Oversight, and Governance	PARCA responsibilities and relationship for EVM	2
18 May 2012	DoD CIO Memo: Delegation of Title 40/CCA Confirmation for MDAPs/MAIS Programs	CIO Memos for CCA cert	1

Summary of Statutory and Regulatory Source Documents, cont'd

DoDI 5000.02 also implements the policy in numerous other DoD publications, as follows:

CJCSI 3170.01H, Joint Capabilities Integration and Development System

CJCSI 6212.01F, Net Ready Key Performance Parameter (NR KPP)

DIA Directive 5000.200, Intelligence Threat Support for Major Defense Acquisition Programs

DIA Instruction 5000.002, Intelligence Threat Support for Major Defense Acquisition Programs

Director CIA Directive 6/3, Protecting Sensitive Compartmented Information within Information Systems

DoD 5000.04-M-1, Cost and Software Data Reporting (CSDR) Manual

DoD 5000.4-M, Cost Analysis Guidance and Procedures

DoD Earned Value Management Implementation Guide

DoD Manual 5200.01, Volume 1, DoD Information Security Program: Overview, Classification, and Declassification

DoD Manual 8400.01-M, Procedures for Ensuring the Accessibility of Electronic and Information Technology (E&IT) Procured by DoD Organizations

DoDD 1322.18, Military Training9

DoDD 2010.9, Acquisition and Cross-Servicing Agreements

DoDD 4630.05, Interoperability and Supportability of Information Technology (IT) and National Security Systems (NSS)

DoDD 5015.2, DoD Records Management Program

DoDD 5250.01, Management of Intelligence Mission Data (IMD) in DoD Acquisition

DoDD 5530.3, International Agreements

DoDD 8320.02, Data Sharing in a Net-Centric Department of Defense

DoDD 8500.01E, Information Assurance (IA)

DoDI 1322.26, Development, Management, and Delivery of Distributed Learning

DoDI 2010.06, Materiel Interoperability and Standardization with Allies and Coalition Partners

DoDI 4630.09, Wireless Communications Waveform Development and Management

New Tables

- ONE summary table of Milestone and Phase Information Requirements
  - Each Row is a Requirement, with applicability defined by program type and event—presented in columns
  - Requirements identified as Regulatory or STATUTORY
  - Clear, accurate, useful notes for each entry
- Similar new tables for Recurring Reports and for Exceptions, Waivers, and Alternative Reporting Requirements
- Separate tables for APB Policy and for APB Breach and Change Definitions

Revised Table Format for Milestone Requirements

- All requirements listed in alphabetical order.
- STATUTORY items in ALL CAPS; and.
- Notes identify the requirement as STATUTORY or Regulatory

A dot (●) in a cell indicates applicability of the requirement to **program type** and **life-cycle event**, and represents the initial submission requirement. Moving right across a row, a checkmark (√) indicates the requirement for updated information.

Table 2. Milestone and Phase Information Re

INFO…TION REQ…NT	PROGRAM TYPE[1]				LIFE-CYCLE EVENT[1,2]								SOURCE	APPROVAL AUTHORITY
	MDAP	MAIS	ACAT II	ACAT ≤ III	MDD	MS A	CDD Val	Dev RFP Rel	MS …	…	…FD Dec	OTHER		
NOTES														
2366a/b CERTIFICATION MEMORANDUM	•					•			•	•			10 U.S.C. 2366a …(n)) 10 U.S.C. 23… …ef. (n)) This instru…	MDA
STATUTORY for MDAPs at Milestones A and B. The MDA does not have authority to delegate this re…ment. The associated procedures from 10 U.S.C. 2366a and 10 U.S.C. 2366b (Reference (n)) are re-stated in the Defense Acquisition Guidebook (Referen…n)), and must be followed. A memorandum similar to that required at Milestone B is a Regulatory requirement at Milestone C if Milestone C is program init…on.														
Acquisition Decision Memorandum (ADM)	•	•	•	•	•	•		•	•	•	•	•	This instruction	MDA
Regulatory. Documents MDA decisions and direction.														
ACQUISITION PROGRAM BASELINE (APB)	•	•	•	•				•	✓	✓	✓	✓	10 U.S.C. 2435 (Ref. (n)) DoDD 5000.01 (Ref. (a))	MDA
STATUTORY for MDAPs at Milestones B and C and the FRP decision; a Regulatory requirement at all other Type/Event combinations, including the required draft[5] at Development RFP Release. The draft[5] APB for the Development RFP Release Point is approved at Milestone B. See section 4 in this enclosure for requirements at other than the identified decision points. The MDA may approve the APB for some ship programs at Milestone A.														
ACQUISITION STRATEGY	•	•	•	•		•		•		✓	✓		SEC. 803, P.L. 107-314 …ef. (p)) Core instruction, para. …2)(c) 10 U.S.C. 2350a (Re…	MDA
STATUT…Y for MDAPs at Milestone A; else Regulatory at other e…nts and for other program types. The Acquisi…egy will include STAT…TORY and Regulato…nformation. - Use t…cquisition Strategy Outline" at https://dap.dau.mil/p…Lists/Policy%20Documents/Attachments/3287…pproved.TDS_AS_Ou…e.docx. - For …repare an Acquisition Approach as part of the B… Case instead of an Acquisition Strategy (furt…d in paragraph 5.a.(1) …nclosure 12 of th…ction). - F…s responding to Urgent Needs, see Table… …osure 13. - R… JEONs, Warfighter SIG urgent needs, S… Defense RAA determinations, or DoD Comp… …en requested for UONs …py of t… …s due to the Director, JRAC, within 3 h… of MDA approval.													
Table Notes: 1. A dot (•) in a cell indicates the specific a… requirement to program type and life-cycle event, and represents the… requirement. Moving right across a row, a checkmark (✓) indicat… for updated information. 2. All of the "Life-Cycle Events" will not … all "Program Types."														
3… …n for the identified events will be submitted …ess days before the pla… …view. …equirements that have been finalized and ap… …ible authority in suppor… t RFP Release Decision Point do not have t… …o Milestone B unless c… …ed. In that case, updated documents will be …, "draft" means a "DoD Com…														

Columns simplify finding requirements

- Notes accompany most rows to explain the requirement, limit or extend the requirement's applicability to program type and/or life-cycle event(s), or explain any special conditions.
- A new column identifies the Approval Authority.